

520 Rec'd PCT/PTO 05 NOV 1999

US

PCT Applicant's Guide - Volume II - National Chapter - US Annex US.II, page-1

FORM PTO-1390  
(REV 10-97)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

DATE: November 5, 1999

EXPRESS MAIL LABEL NO.  
EL368757437USATTORNEY DOCKET NO.  
36368/DRK

U.S. APPLICATION NO.

09/423401

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED  
November 6, 1998

## TITLE OF INVENTION

**METHOD OF SELECTIVE POST-GROWTH TUNING OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR  
HETEROSTRUCTURE AND PRODUCTS PRODUCED THEREOF**

APPLICANT(S) FOR DO/EO/US

LI, Gang and CHUA, Soo Jin

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/LUS).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). **UNEXECUTED**
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items below concern other document(s) or other information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Small entity claim with a copy of this transmittal letter attached.
17. ☐ International search report.
18. ☐ International preliminary examination report.
19. ☒ Formal Drawings (14 sheets)
20. ☒ Copy of Singapore Application No. 9804027-2 filed November 6, 1998
21. ☐

JC962 U.S. PTO

JC478 U.S. PTO

11/05/99

By *Daniel R. Kimbell*  
Daniel R. Kimbell  
Reg. No. 34,849

**facsimile**  
**TRANSMITTAL**

Date: November 26, 2002

No. of Pages: 13 (including this cover sheet)

Fax No: (703) 308-6459

**PLEASE DELIVER THE FOLLOWING PAGES IMMEDIATELY TO:**

Name: Commissioner for Patents

Examiner: Rafael Bacares

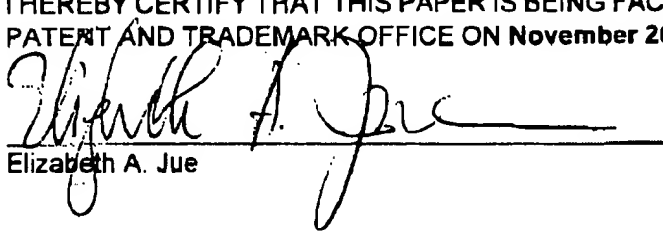
Phone: (703) 308-6312

From: Daniel R. Kimbell  
Reg. No. 34,849Re: Application No. 09/423,401; Filed November 5, 1999  
Entitled METHOD OF SELECTIVE POST-GROWTH TUNING OF AN  
OPTICAL BANDGAP OF A SEMI-CONDUCTOR HETEROSTRUCTURE  
AND PRODUCTS PRODUCED THEREOF

File: 36368/DRK/L359

**RECEIVED**

26 NOV 2002

Legal Staff  
International DivisionI HEREBY CERTIFY THAT THIS PAPER IS BEING FACSIMILE TRANSMITTED TO THE  
PATENT AND TRADEMARK OFFICE ON November 26, 2002.  
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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Patent Cooperation Treaty  
Legal Office

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**JUL 31 2000**

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*In re* Application of  
LI et al  
Application No.: 09/423,401  
PCT No.:

International Filing Date:

Priority Date Claimed: 06 November 1998

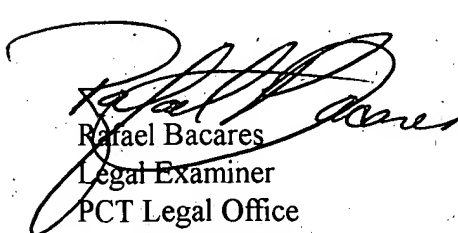
Attorney Docket Number: 36368/DRK

For: METHOD OR SELECTIVE POST-GROWTH TUNING  
OF AN OPTICAL BANDGAP OF A SEMI-CONDUCTOR  
HETEROSTRUCTURE AND PRODUCTS PRODUCED  
THEREFORE


Communication

A review of for the above-captioned application reveals that applicants have not provided the international application number (PCT number), or the international filing date with the transmittal letter and other documents submitted 05 November 1999.

Applicants must provide this information within ONE (1) MONTH from the mail date of this notification. Failure to respond will result in the abandonment of this application.

  
Rafael Bacares  
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PCT Legal Office

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Boris Milef  
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